

Several References crossed out are not considered because either reference is not included, or it is a duplicate reference to one already cited

/HW/	AA	NINGHUI, L., et al.; <u>Delegation Logic: A Logic-Based Approach to Distributed Authorization</u> ; ninghui@stanford.edu ; Dept of Computer Sci; Stanford University; CA; USA; 12 th IEEE Computer Security Foundations Workshop; June 1999; USA
/HW/	AB	NINGHUI, L., et al; <u>Distributed Credential Chain Discovery in Trust Management</u> ; ninghui@stanford.edu ; Dept of Computer Sci; Stanford University; CA; USA; Proceedings of the 8 th ACM Conference on Computer and Communications Security; p. 156-165; Nov. 2001; USA
/HW/	AC	NINGHUI, L. et al.; <u>A Logic-Based Knowledge Representation for Authorization with Delegation</u> ; Computer Sci.; NY Univ, NY; ninghui@cs.nyu.edu ; Proceedings of the 12 th IEEE Computer Security Foundations Workshop; June 1999; USA
/HW/	AD	LI, N., et al; <u>Towards Practical Automated Trust Negotiation</u> ; ninghui.li@cs.stanford.edu ; Department of Computer Science, Stanford University; CA
	AE	WU, W., et al; <u>An Authorization-Based Trust Model For Multiagent Systems</u> ; Applied Artificial Intelligence; Oct. 2000
/HW/	AF	CHU, Y.H., et al; <u>REFEREE: Trust Management for Web Applications</u> ; Computer Networks and ISDN Systems; vol.29,no.8-13, p.953-64; Sept 1997; Netherlands; 6 th Intl World Wide Web Conf; April 7-11, 1997; Santa Clara, CA; USA
/HW/	AG	CALVELLI, C., et al; <u>An Analysis Of Some Delegation Protocols For Distributed Systems</u> ; Proceedings. Computer Security Foundations Workshop V; Cat No. 92TH0447-3; p.92-110; June 16-18, 1992; Franconia, NH; USA; IEEE Comput. Soc. Press; Los Alamitos, CA; USA; viii+189 pp; 1992
/HW/	AH	ALOISIO, G., et al; <u>The Digital Puglia Project: An Active Digital Library of Remote Sensing Data</u> ; {alouisio.cafaro}@sara.unie.it; Univesita degli Studi di Lecce, Via per Monteroni, 73100, Lecce, Italy
/HW/	AI	BURROWS, M., et al; <u>A Logic of Authentication</u> ; Digital Equipment Corporation; SRC Research Report 39; February 22, 1990; © Digital Equipment Corporation 1989, 1990
/HW/	AJ	CHANDER, A., et al; <u>A State-Transition Model of Trust Management and Access Control</u> ; ajayc@cs.stanford.edu ; Computer Science Department, Stanford University; CA; USA
/HW/	AK	NIKANDER, P., et al; <u>Storing and Retrieving Internet Certificates</u> ; Helsinki University of Technology; pekka.nikander@hut.fi ; Submission for NordSec-98
/HW/	AL	TANG, T., et al; <u>Who Can I Trust? Investigating Trust Between Users and Agents in A Multi-Agent Portfolio Management System</u> ; American Association for Artificial Intelligence; 2002
	AM	JHUMKA, A., et al; <u>On Systematic Design Of Globally Consistent Executable Assertions In Embedded Software</u> ; Joint Conference on Languages...; June 19-21, 2002; Berlin, Germany; Pub. SIGPLAN Notices; July, 2002; USA
/HW/	AN	CHADWICK, D.W., et al; <u>Merging and Extending the PEM Trust Models-the ICE-TEL Trust Model</u> ; IEEE Network; vol.11, no.3, p. 16-24; May-June 1997; USA

	AO	SMITH, M.A.S.; <u>Formal Verification of Communication Protocols</u> ; IFIP TC 6/6.1 Conference; p. 129-44; Oct. 8-11, 1996; Kaiserslautern, Germany; Pub. Chapman & Hill; 516 pp; 1996; London, UK
/HW/	AP	PROBERT, R., et al; <u>Validation-Directed Specification of Communications Systems</u> ; Information and Software Technology; vol. 37, no. 8, p. 403-10; August 1995; UK
	AQ	FREUDENTHAL, E., et al; <u>drBAC: Distributed Role-Based Access Control for Dynamic Coalition Environments</u> ; TCDP Conference; July 2-5, 2002; Vienna, Austria; © 2002, IEE
/HW/	AR	MAIBAUM, T; <u>How Do I Trust Thee? Let Me Count the Ways</u> ; Proceed. 1 st IEEE Intl Conf on Cognitive Informatics; Aug 19-20, 2002; Calgary, Alta, Canada; Pub: IEEE Comput Soc.; xi+369 pp.; Los Alamitos, CA, USA; 2002
/HW/	AS	KAGAL, L., et al; <u>Trust-Based Security in Pervasive Computing Environments</u> ; Pub IEEE Comput. Soc.; Computer; vol.34, no.12, p. 154-7; December 2001; USA
	AT	NINGHUI, L., et al; <u>Design of a Role-Based Trust-Management Framework</u> ; Proceed. 2002 IEEE Symposium on Security and Privacy, p. 114-30; May 12-15, 2002; Berkeley, CA, USA; Pub IEEE Comput Soc. ix+295 pp.; 2002; USA
	AU	LINKETSCHER, N., et al; <u>Trust Issues and User Reactions to E-Services and E-Marketplaces: A Customer Survey</u> ; 12 th Intl Workshop on Database and Expert Systems Applications; p. 752-6; September 3-7, 2001; Munich, Germany
/HW/	AV	FALCONE, R., et al; <u>The Human in the Loop of a Delegated Agent: The Theory of Adjustable Social Autonomy</u> ; IEEE Transactions on Systems, Man & cybernetics, Part A (Systems & Humans); vol. 31, no.5, p.406-18; September, 2001; USA
/HW/	AW	HOLDEN, D.B.; <u>The Digital Distributed System Security Architecture</u> ; Proc. Of 6 th IFIP Intl Conf. On Computer Security and Integrity; p.203-9; May 23-25, 1990; Espoo, Finland
/HW/	AX	WONG, C., et al; <u>Adding Security and Trust to Multiagent Systems</u> ; Pub. Taylor & Francis; Applied Artificial Intelligence; vol. 14, no. 9, p. 927-41; October 2000; UK
	AY	CARDOSO, L., et al; <u>Using and Evaluating Adaptive Agents for Electronic Commerce Negotiation</u> ; AL IBERAMIA SBIA 2000; Proc. (Lecture Notes Artificial Intelligence Vol. 1952); p. 96-105; November 19-22, 2000; Atibaia, SP, Brazil
/HW/	AZ	DONDETI, L.R. et al; <u>DISEC: A Distributed Framework for Scalable Secure Many-to-Many Communication</u> ; Proc. 5 th IEEE Symposium on Computer and Communications (ISCC 2000); p. 693-8; July 3-6, 2000; Antibes-Juan Les Pins; France
	BA	VARADHARAJAN, J., et al; <u>An Analysis of the Proxy Problem in Distributed Systems</u> ; Conf. Proc. 1991 IEEE Computer Soc. Symposium on Research in Security and Privacy; Cat. No. 91CH2986-8); p.255-75; May 20-22, 1991; Oakland, CA, USA
/HW/	BB	CASTELFRANCHI, C., et al; <u>Toward a Theory of Delegation for Agent-Based Systems</u> ; ub. Elsevier; Robotics and Autonomous Systems; vol.24, no.3-4, p.141-57; Sept. 30, 1998; Netherlands
/HW/	BC	SUBRAMANIAN, K, et al; <u>Intelligent Agent Platform for Procurement</u> ; IEEE SMC'99; Part vol. 3, p. 107-12, vol.3; Oct. 12-15, 1999; Tokyo, Japan

/HW/	BD	LEWIS, M.; <u>Anticipation Delegation, and Demonstrations: Why Talking to Agents is Hard</u> ; Proceedings of CIA-99-3 rd Int'l Workshop on Cooperative Information Agents; p. 365-89; July 31 – August 2, 1999; Uppsala, Sweden; Pub. Springer-Verlag; xi+401 pp.; 1999; Berlin, Germany
	BE	NINGHIU, L, et al; <u>A Practically Implementable and Tractable Delegation Logic</u> ; Proc. Of 2000 IEEE Symposium on Security and Privacy; p. 27-32; May 14-17, 2000; Berkeley, CA, USA; IEEE Comput. Soc.; ix +256pp.; 2000; Los Alamitos, CA, USA
/HW/	BF	FALCONE, R., et al; <u>Grounding Autonomy Adjustment on Delegation and Trust Theory</u> ; Pub. Taylor & Francis; Journal of Experimental and Theoretical Artificial Intelligence; vol. 12, no. 2, p. 149-51; April-May 2000; UK
	BG	LINN, J., et al; <u>Attribute Certification: An Enabling Technology for Delegation and Role-Based Controls in Distributed Environments</u> ; Proc. 4 th ACM Workshop on Role-Based Access Control; p. 121-30; October 28-29, 1999; Fairfax, VA, USA
	BH	YIMIN YEN, Y.; <u>Assurance Service: The Trust Builder of Electronic Commerce</u> ; Proc. Of 2000 Information Resources Management Assoc. Intl Conf.; p. 1105; May 21-24, 2000; Anchorage, AK, USA

Examiner: Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Form 1449 (Modified)**Information Disclosure
Statement By Applicant**

Atty. Docket No.: AOL0094

Applicant: Aoki, et al.

Serial No.: Unassigned

Filing Date: Filed Herewith

Art Unit: Unassigned

Examiner: Unassigned

U.S. Patent Documents

Examiner Initial	No.	Patent No.	Date	Patentee	Class	Sub-class	Filing Date
/HW/	A	5,173,939	12/22/1992	Abadi, et al	380	25	10/28/1991
/HW/	B	5,870,474	2/09/1999	Wasilewski, et al	380	21	12/29/1995
/HW/	C	5,958,050	9/28/1999	Griffin, et al	713	200	12/26/1996
/HW/	D	6,032,260	2/29/2000	Sasmazel, et al	713	202	11/13/1997
/HW/	E	6,088,451	7/11/2000	He, et al	380	25	6/28/1996
/HW/	F	6,105,095	8/15/2000	Miller, et al	710	107	2/23/1998
/HW/	G	6,216,231B1	4/10/2001	Stubblebine	713	201	4/25/1997
/HW/	H	6,256,734B1	7/03/2001	Blaze, et al	713	157	10/08/1999
/HW/	I	6,256,741B1	7/03/2001	Stubblebine	713	201	10/13/2000
/HW/	J	6,263,432B1	7/17/2001	Sasmazel, et al	173	100	10/06/1997
/HW/	K	6,289,382B1	9/11/2001	Bowman-Amuah	709	226	8/31/1999
/HW/	L	6,304,973B1	10/16/2001	Williams	713	201	8/06/1998
/HW/	M	6,332,163B1	12/18/2001	Bowman-Amuah	709	231	9/01/1999
/HW/	N	6,339,595B1	1/15/2002	Rekhter, et al	370	392	12/23/1997
/HW/	O	6,393,482B1	5/21/2002	Rai, et al	709	225	8/24/1998
/HW/	P	6,408,336B1	6/18/2002	Schneider, et al	709	229	3/04/1998
/HW/	Q	6,415,323B1	7/02/2002	McCanne, et al	709	225	12/09/1999
/HW/	R	6,424,714B1	7/23/2002	Wasilewski, et al	380	200	8/18/1998
/HW/	S	6,438,594B1	8/20/2002	Bowman-Amuah	709	225	8/31/1999
/HW/	T	6,463,061B1	10/08/2002	Rekhter, et al	370	392	1/19/1999
/HW/	U	6,477,580B1	11/05/2002	Bowman-Amuah	709	231	8/31/1999
/HW/	V	6,477,665B1	11/05/2002	Bowman-Amuah	714	39	8/31/1999

Foreign Patent or Published Foreign Patent Application

Examiner Initial	No.	Document No.	Publication Date	Country or Patent Office	Class	Sub-class	Translation	
							Yes	No
/HW/	W	0 977 399 A1	2/02/2000	EPO	H04L	12/24	X	
/HW/	X	0 912 026 A2	4/28/1999	EPO	H04L	29/06	X	
/HW/	Y	1 239 265 A1	9/11/2002	EPO	H04Q	7/22	X	

Other Documents

Examiner Initial	No.	Author, Title, Date, Place (e.g. Journal) of Publication
/HW/	Z	MIKLOS Z.; A Decentralized Authorization Mechanism for E-Business Applications; Technical University of Vienna, Distributed Systems Group; Z.Miklos@infosys.tuwien.ac.at; Vienna, Austria

Form 1449 (Modified) Information Disclosure Statement By Applicant (Use Several Sheets if Necessary)	Atty. Docket No.	Serial No.:
	AOL0094	10/801,406
	Applicant:	
	Aoki et al.	
	Filing Date:	Group:
	3/15/2004	2631

U.S. Patent Documents

Examiner Initial	No.	Patent No.	Date	Patentee	Class	Sub-class	Filing Date
/HW/	A	4,919,545		Yu			
/HW/	B	5,481,720	1/2/96	Loucks et al.			
/HW/	C	5,491,752	2/13/96	Kaufman et al.			
/HW/	D	5,544,322	8/6/96	Cheng et al.			
/HW/	E	5,560,008	9/24/96	Johnson et al.			
/HW/	F	5,590,199	12/31/96	Krajewski, Jr. et al.			
/HW/	G	5,684,950	11/4/97	Dare et al.			
/HW/	H	5,689,698	11/18/97	Jones et al.			
/HW/	I	5,699,431		Van Oorschot et al.			
/HW/	J	5,737,419	4/7/98	Ganesan			
/HW/	K	5,754,841	5/19/98	Carino, Jr.			
/HW/	L	5,757,920	5/26/98	Misra et al.			
/HW/	M	5,794,250	8/11/98	Carino, Jr. et al.			
/HW/	N	5,809,144	9/15/98	Sirbu et al.			
/HW/	O	5,864,665	1/26/99	Tran			
/HW/	P	5,864,843	1/26/99	Carino, Jr. et al.			
/HW/	Q	5,873,083	2/16/99	Jones et al.			
/HW/	R	5,913,202		Motoyama			
/HW/	S	5,923,756	7/13/99	Shambroom			
/HW/	T	5,930,786	7/27/99	Carino, Jr. et al.			
/HW/	U	5,982,891	11/9/99	Ginter et al.			
/HW/	V	5,999,711	12/7/99	Misra et al.			
/HW/	W	6,003,136	12/14/99	Schanze			
/HW/	X	6,009,175	12/28/99	Schanze			
/HW/	Y	6,052,785		Lin et al.			
/HW/	Z	6,055,639	4/25/00	Schanze			
/HW/	AA	6,067,542	5/23/00	Carino, Jr. et al.			
/HW/	BB	6,085,223	7/4/00	Carino, Jr. et al.			
/HW/	CC	6,175,920	1/16/01	Schanze			
/HW/	DD	6,198,824	3/6/01	Shambroom			
/HW/	EE	6,216,231	4/10/01	Stubblebine			
/HW/	FF	6,256,741	7/3/01	Stubblebine			
/HW/	GG	6,279,111	8/21/01	Jensenworth et al.			
/HW/	HH	6,301,661	10/9/01	Shambroom			
/HW/	II	6,314,518	11/6/01	Linnartz			
/HW/	JJ	6,332,131		Grandcolas			
/HW/	KK	6,356,937	3/12/02	Montville et al.			
/HW/	LL	6,363,488	3/26/02	Ginter et al.			
/HW/	MM	6,389,402	5/14/02	Ginter et al.			
/HW/	NN	6,396,805		Romrell			
/HW/	OO	6,401,211	7/4/02	Brezak, Jr. et al.			
/HW/	PP	6,405,312	6/11/02	Ly			
/HW/	QQ	6,411,309	6/25/02	Ly			

RR	6,516,316	/HW/	Ramasubramani et al.			
SS	6,640,302	/HW/	Subramaniam et al.			
TT	6,873,974	/HW/	Schutzer			
UU	6,901,387	/HW/	Wells et al.			

Foreign Patent or Published Foreign Patent Application

Examiner Initial	No.	Document No.	Publication Date	Country or Patent Office	Class	Sub-class	Translation	
							Yes	No
/HW/	VV	398 492	1/22/97	EPO	G06F	1/00	X	
/HW/	WW	456 920	11/21/91	EPO	G06F	1/00	X	
/HW/	XX	610 362	9/13/95	EPO	B42D	15/10	X	
/HW/	YY	695 985	2/7/96	EPO	G06F	1/00	X	
/HW/	ZZ	957 424	11/17/99	EPO	G06F	1/00	X	

Other Documents Not Considered. Not included.

Examiner Initial	No.	Author, Title, Date, Place (e.g. Journal) of Publication
	A1	Ticket Based Secure Delegation Service Supporting Multiple Domain Models, Kyung-An Chang, Tae-Seung Lee, Bang-Hun Chun, and Tai-Yun Kim, Proceedings of 2001 Pacific Rim International Symposium on Dependable Computing, December 17-19, 2001
	B1	Authentication of a Unknown Entities on an Insecure Network of Untrusted Workstations; B.C Neuman, and J.G. Steiner, Proceedings UNIX Security Workshop, August 29-30, 1988
/HW/	C1	Third-Party Authentication in the Institutional File System; Bill Doster, and Jim Rees; February 2, 1992
/HW/	D1	Supporting Periodic Authorizations and Temporal Reasoning in Database Access Control; Elisa Bertino, Claudio Bettini, Elena Ferrari, and Pierangela Samarati; Proceedings of the 22 nd VLDB Conference Mumbai (Bombay), 1996
Not Considered. Not included.	E1	A Temporal Access Control Mechanism for Database Systems; Elisa Bertino, Claudio Bettini, Elena Ferrari, and Pierangela Samarati, IEEE Transactions on Knowledge and Data Engineering
/HW/	F1	Decentralized Administration for a Temporal Access Control Model; Elisa Bertino, Claudio Bettini, Elena Ferrari, and Pierangela Samarati; Technical Report
/HW/	G1	Non-Intrusive Authentication; Daniele Alberto Galliano, Antonio Lioy, and Fabio Maino; IFIP; 1996
/HW/	H1	On Granting Limited Access to Private Information; Frans a. Lategan, and Martin S. Olivier; WWW10; May 1-5, 2001
/HW/	I1	Sesame V2 Public Key and Authorisation Extensions to Kerberos; P.V. McMahon
/HW/	J1	The Role of Trust Management in Distributed Systems Security; Matt Blaze, Joan Feigenbaum, John Ioannidis, and Angelos D. Keromytis
Not Considered. Not included.	K1	Mixed Strand Spaces; F.J. Thayer Fabrega, J.C. Herzog, and J.D. Guttman; Proceedings of the 12th IEEE Computer Security Foundations Workshop, June 28-30, 1999
	L1	Distributed Authentication in Kerberos Using Public Key Cryptography; M.A. Sirbu, and J.C.-I Chuang; Proceedings of 1997 Symposium on Network and Distributed System Security; February 10-11, 1997

Attorney Docket No. AOL0094 Not Considered. Not
included.

	M1	A Metacomputer Architecture Based on Cooperative Resource Management; V. Sander; High-Performance Computing and Networking. International Conference and Exhibition; April 28-30, 1997
	N1	Kerberos with Clocks Adrift: History, Protocols, and Implementation; D.T. Davis, D.E. Greer, and T. Ts'o; Computing Systems; Winter 1996
	O1	Smart Card Integration with Kerberos; M. Warner, J. Trinkle, G. Caskell; Australian Computer Science Communications; January 31- February 1996
	P1	Kerberos Security with Clocks Adrift; D. Davis, and D.E. Greer; Proceedings of the Fifth USENIX UNIX Security Symposium; June 5-7, 1995
	Q1	Authentication Via Multi-Service Tickets in the Kuprova Server; T. Hardjono, and J. Seberry; Computer Security - ESORICS 94. Third European Symposium on Research in Computer Security; November 7-9, 1994
	R1	Kerberos Doggedly Protects Data; Open Systems Economics Letters; December 1994
/HW/	S1	Multiple Authentications with a Nonce-Based Protocol Using Generalized Timestamps; A. Kehne, J. Schonwalder, H. Langendorfer; Eleventh International Conference on Computer Communication; September 28-October 2, 1992
	T1	A Nonce-Based Protocol for Multiple Authentications; A. Kehne, J. Schonwalder, and H. Langendorfer; Operating Systems Review; October 1992
	U1	The Evolution of the Kerberos Authentication Service; J.T. Kohl; UNIX Distributed Open Systems in Perspective. Proceedings of the Spring 1991 EurOpen Conference; May 20-24, 1991

included.

Examiner: Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

/Harris Wang/

06/08/2007

Form 1449 (Modified) Information Disclosure Statement By Applicant (Use Several Sheets if Necessary)	Atty. Docket No. AOL0094	Serial No.:
	Applicant: Cahill	Group:
Filing Date:		

U.S. Patent Documents

Examiner Initial	No.	Patent No.	Date	Patentee	Class	Sub-class	Filing Date

Foreign Patent or Published Foreign Patent Application

Examiner Initial	No.	Document No.	Publication Date	Country or Patent Office	Class	Sub-class	Translation	
							Yes	No

Other Documents

Examiner Initial	No.	Author, Title, Date, Place (e.g. Journal) of Publication
		<u>A Decentralized Authorization Mechanism for E-Business Applications</u> ; Z. Miklos; Technical University of Vienna, Distributed Systems Group;
		<u>Delegation Logic: A Logic-Based Approach to Distributed Authorization</u> ; N. Li, B. Grosf, J. Feigenbaum;
		<u>Distributed Credential Chain Discovery in Trust Management</u> ; N. Li, W. Winsborough, J. Mitchell, Proceedings of the 8 th ACM Conference on Computer and Communications Security; Nov. 2001;
		<u>A Logic-Based Knowledge Representation for Authorization with Delegation</u> ; N. Li, B. Grosf, J. Feigenbaum; Proceedings of the 12 th IEEE Computer Security Foundations Workshop; June 1999;
		<u>Towards Practical Automated Trust Negotiation</u> ; W. Winsborough, NAI Labs; N. Li, Department of Computer Science, Stanford University;

		<u>Adding Security And Trust To Multiagent Systems</u> ; Chi Wong, H.; Sycara, K.; Applied Artificial Intelligence; Oct. 2000;
		<u>An Authorization-Based Trust Model For Multiagent Systems</u> ; Wu Wen; Mizoguchi, F.; Applied Artificial Intelligence; Oct. 2000;
		<u>REFEREE: Trust Management for Web Applications</u> ; Y.H. Chu, J. Feigenbaum, B. LaMacchia, P. Resnick, M. Strauss; Computer Networks and ISDN Systems; Sept. 1997;
		<u>An Analysis Of Some Delegation Protocols For Distributed Systems</u> ; Calvelli, C.; Varadharajan, V.; Proceedings. Computer Security Foundations Workshop V; IEEE Comput. Soc. Press; 1992;
		<u>The Digital Puglia Project. An Active Digital Library of Remote Sensing Data</u> ; G. Aloisio, M. Cafaro, R. Williams;
		<u>A Logic of Authentication</u> ; M. Burrows, M. Abadi, R. Needham; Digital Equipment Corporation; SRC Research Report 39; Feb. 1990;
		<u>A State-Transition Model of Trust Management and Access Control</u> ; A. Chandler, Computer Science Department, Stanford University; D. Dean, Xerox PARC; J. Mitchell, Computer Science Department, Stanford University;
		<u>Storing and Retrieving Internet Certificates</u> ; P. Nikander, Helsinki University of Technology; L. Viljanen, University of Helsinki; Submission for NordSec-98;
		<u>Who Can I Trust? Investigating Trust Between Users and Agents in A Multi-Agent Portfolio Management System</u> ; T. Tang, P. Winoto, X. Niu; American Association for Artificial Intelligence; 2002;
/HW/		<u>On Systematic Design Of Globally Consistent Executable Assertions In Embedded Software</u> ; Jhumka, A.; Hiller, M.; Claesson, V.; Suri, N.; SIGPLAN Notices; July 2002;

Examiner: Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

/Harris Wang/

06/04/2007